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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
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10/582,053

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Helmut Keul

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CONNOLLY BOVE LODGE & HUTZ, LLP

P O BOX 2207

WILMINGTON, DE 19899

EXAMINER

HEINCER, LIAM J

ART UNIT

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**Please find below and/or attached an Office communication concerning this application or proceeding.**

The time period for reply, if any, is set in the attached communication.

## Office Action Summary

Application No.

10/582,053

Applicant(s)

KEUL ET AL.

Examiner

Liam J. Heincer

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-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

### Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

### Status

- 1) ☒ Responsive to communication(s) filed on 08 June 2006.
- 2a) ☐ This action is **FINAL**. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

### Disposition of Claims

- 4) ☒ Claim(s) 1-13 and 15 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 1-13 and 15 is/are rejected.
- 7) ☒ Claim(s) 8 and 12 is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

### Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on \_\_\_\_\_ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.
- Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
- Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

### Priority under 35 U.S.C. § 119

- 12) ☒ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☒ All b) ☐ Some \* c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
  2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
  3. ☒ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

\* See the attached detailed Office action for a list of the certified copies not received.

### Attachment(s)

- |  |   |
|--|---|
| 1) <input checked="" type="checkbox"/> Notice of References Cited (PTO-892)  | 4) <input type="checkbox"/> Interview Summary (PTO-413)<br>Paper No(s)/Mail Date. _____ |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948)   | 5) <input type="checkbox"/> Notice of Informal Patent Application                       |
| 3) <input checked="" type="checkbox"/> Information Disclosure Statement(s) (PTO/SB/08)<br>Paper No(s)/Mail Date <u>4/2007 and 7/2007</u> . | 6) <input type="checkbox"/> Other: _____  |

## **DETAILED ACTION**

### ***Claim Objections***

Claim 8 is objected to because of the following informalities: the claim reads "the polymer" but there can possibly be two polymers. Appropriate correction is required.

For the purpose of the further examination, in the case where two polymers are used the claim will be interpreted as reading "one of the polymers".

Claim 12 is objected to under 37 CFR 1.75(c), as being of improper dependent form for failing to further limit the subject matter of a previous claim. Applicant is required to cancel the claim(s), or amend the claim(s) to place the claim(s) in proper dependent form, or rewrite the claim(s) in independent form. Claim 12 lists a group of compounds that do not fall in the genus claimed in claim 10. 2-oxo-1,3-dioxolane-4-yl-methyl methacrylate and 2-oxo-1,3-dioxolane-4-yl-methyl acrylate do not contain the X group of the instant formula I.

For the purpose of further examination, claim 12 will be interpreted as an independent claim.

### ***Claim Rejections - 35 USC § 102***

The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

(b) the invention was patented or described in a printed publication in this or a foreign country or in public use or on sale in this country, more than one year prior to the date of application for patent in the United States.

Claims 10 is rejected under 35 U.S.C. 102(b) as being anticipated by Frsichinger et al. (US 6,090,891).

Considering Claim 10: Frsichinger et al. teaches a compound of formula I (10:20-25).

Claims 12 rejected under 35 U.S.C. 102(b) as being anticipated by Fukada et al. (US 2003/0134926).

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Considering Claim 12: Fukada et al. teaches a 2-oxo-1,3-dioxolane-4-yl-methyl methacrylate (¶0081).

***Claim Rejections - 35 USC § 103***

The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

This application currently names joint inventors. In considering patentability of the claims under 35 U.S.C. 103(a), the examiner presumes that the subject matter of the various claims was commonly owned at the time any inventions covered therein were made absent any evidence to the contrary. Applicant is advised of the obligation under 37 CFR 1.56 to point out the inventor and invention dates of each claim that was not commonly owned at the time a later invention was made in order for the examiner to consider the applicability of 35 U.S.C. 103(c) and potential 35 U.S.C. 102(e), (f) or (g) prior art under 35 U.S.C. 103(a).

Claims 1-3 and 6-9 are rejected under 35 U.S.C. 103(a) as being unpatentable over Pardoen et al. (US 2004/0127608) in view of Fukada et al. (US 2003/0134926). Considering Claims 1 and 9: Pardoen et al. teaches modifying a polyamine/substrate with primary or secondary amine (¶0007) with a cyclic carbonate (¶0007) to form a urethane bond (¶0007).

Pardoen et al. does not teach the cyclic carbonate as being one of the claimed formulas. However, Fukada et al. teaches using 2-oxo-1,3-dioxolane-4-yl-methyl methacrylate as a cross-linker between two substrates (¶0080-81). Pardoen et al. and Fukada et al. are combinable as they are concerned with the same technical difficulty, namely using cyclic carbonates to modify polymers. It would have been obvious to a person having ordinary skill in the art at the time of the invention to have used the cyclic

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carbonate of Fukada et al. in the process of Pardoen et al., and the motivation to do so would have been, as Fukada et al. suggests, its bifunctionality allows it react with two substrates simultaneously (§0080-81).

Considering Claims 2 and 3: Pardoen et al. teaches the substrate as being a polymer (§0014-16).

Considering Claim 6: Pardoen et al. teaches the second end of the compound as reacting with a second polymer (§0029).

Considering Claims 7 and 8: Pardoen et al. teaches one of the substrate as being a polymer (§0014-16).

Considering Claims 13 and 15: Pardoen et al. teaches a polymer made by the process (§0001) for use in a dispersant (§0001).

Claim 10 is rejected under 35 U.S.C. 103(a) as being unpatentable over Fukada et al. (US 2003/0134926).

Considering Claim 10: Fukada et al. teaches a 2-oxo-1,3-dioxolane-4-yl-methyl methacrylate (§0081).

Fukada et al. does not teach R as being C<sub>2</sub>-C<sub>12</sub>-alkene. However, it is well known in the art to use homologs of chemical structures. It would have been obvious to a person having ordinary skill in the art at the time of the invention to have used a C<sub>2</sub>-C<sub>12</sub>-alkene in the place of the CH<sub>2</sub> group of Fukada et al., and the motivation to do so would have been these groups are functionally equivalent. See MPEP § 2144.09.

Claim 11 is rejected under 35 U.S.C. 103(a) as being unpatentable over Fukada et al. (US 2003/0134926) as applied to claim 10 above, and further in view of Raab (US Pat. 4,792,613).

Considering Claim 11: Fukada et al. teaches the compound of claim 10 as shown above.

Fukada et al. does not teach the compound as having one of the claimed substituents. However, Raab teaches a cyclic carbonate with a perfluorinated alkyl chain (Formula I). Fukada et al. and Raab are combinable as they are concerned with

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the same field of endeavor, namely cyclic carbonates. It would have been obvious to a person having ordinary skill in the art at the time of the invention to have added the perfluorinated functional group of Raab in the place of the acrylate group of Fukada et al., and the motivation to do so would have been, as Raab suggests, to provide a waterproofing material for coating textiles (4:49-59).

Claims 4 and 5 are rejected under 35 U.S.C. 103(a) as being unpatentable over Pardoen et al. (US 2004/0127608) in view of Fukada et al. (US 2003/0134926) as applied to claim 3 above, and further in view of Van Holen (US 2004/0236119).

Considering Claims 4 and 5: Pardoen et al. and Fukada et al. teach the process of claim 3 as stated above.

Pardoen et al. does not teach the cyclic carbonate as containing an ammonium alkyl radical. However, Van Holen teaches a cyclic carbonate with an ammonium alkyl radical and other radicals that bonds with an amine (¶¶0017-21 and 0026). Pardoen et al. and Van Holen are combinable as they are concerned with the same field of endeavor, namely cyclic carbonates. It would have been obvious to a person having ordinary skill in the art at the time of the invention to have used a cyclic carbonate with an ammonium radical as in Van Holen in the method of Pardoen et al., and the motivation to do so would have been, as Van Holen suggests, to increase the reaction rate with the amine polymer (¶¶0026).

The prior art made of record and not relied upon is considered pertinent to applicant's disclosure. See PTO Form 892.

### ***Conclusion***

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Liam J. Heincer whose telephone number is 571-270-3297. The examiner can normally be reached on Monday thru Friday 7:30 to 5:00 EST.

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If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Mark Eashoo can be reached on 571-272-1197. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.

LJH

  
MARK EASHOO, PH.D.  
SUPERVISORY PATENT EXAMINER

October 26, 2007

01 / Nov / 07